

R10 InfoPage

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Q&D - Office of Environmental Assessment - Risk Evaluation Unit - Records Disposition Schedules

RECORD SERIES DESCRIPTION	DISPOSITION	NARA #
Link to the common Housekeeping Schedules not included in this table	Link to your full printable OEA - REU File Plan Spreadsheet	
ADMINISTRATIVE RECORDS - SUPERFUND SITE-SPECIFIC: The Administrative Record (AR) is a subset of the remedial and removal site file compiled and made available to the public as the basis for selected Superfund response actions. Specific types of records include Action Memoranda, Administrative Orders, Consent Orders, Applicable or Relevant and Appropriate Requirements (ARARs), the Preliminary Assessment/Site Inspection, the Remedial Investigation/Feasibility Study, Community Relations Plans, correspondence, fact sheets, news clippings, work plans, Natural Resource Trustee information, site reports, the proposed and approved remedial action, POLREPs, Potentially Responsible Party (PRP) letters, the Record of Decision (ROD), technical assistance documentation, technical issue papers, public meeting transcripts, public comments on the development of the Administrative Record, and an index to the record. Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives Function: 108-024-01 019	Item a(1):Permanent Close inactive remedial records upon issuance of Record of Decision (ROD) for the site or operable unit and appropriate milestones thereafter. Close inactive removal records upon issuance of the Action Memo or appropriate decision document. Transfer to the National Archives 30 years after file closure. If record is microform, destroy paper after quality assurance. Item a(2):Permanent Close inactive remedial records upon issuance of Record of Decision (ROD) for the site or operable unit and appropriate milestones thereafter. Close inactive removal records upon issuance of the Action Memo or appropriate decision document. Transfer to the National Archives 5 years after file closure, with any related documentation or external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-06-16 Status: Final, 12/31/2010
CONTROLLED & MAJOR CORRESPONDENCE: Includes signed controlled and major correspondence. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies. Records consist of copies of incoming letters, copies of the responses, and enclosures. Also includes indexes to the correspondence. Item b: Division Directors and other personnel Function: 404-141-02-01 141	Item b:Disposable Close inactive records at end of year. Destroy 10 years after file closure.	N1-412-06-10 Status: Final, 02/29/2008
	Item a: Permanent	

<p>the development of health, risk, and exposure assessments; risk assessment guidelines; and air and water quality criteria documents used in assessing the risk of exposure to hazardous pollutants. Assessment and criteria documents support regulatory and enforcement decisions under the various acts governing EPA. Records consist of program office requests; scientific and technical evaluations; unit risk calculations and other data compilations related to scientific assessments; references, studies, other literature search materials; document drafts; and other related records and supporting documents. Docket files are maintained for the air and water quality criteria documents.</p> <p>Item a: Air quality and water quality documents</p> <p>Item b: Air quality criteria documents</p> <p>Item c: Water quality criteria documents</p> <p>316-258 507</p>	<p>then retire to FRC. Transfer to the National Archives in 5 year blocks when 30 years old.</p> <p>Item b: Permanent Keep in office 5 years or until the Criteria Document is developed, then retire to FRC. Transfer to the National Archives in 5 year blocks when 25 years old.</p> <p>Item c: Permanent Keep in office 5 years or until the Criteria Document is developed, then retire to FRC. Transfer to the National Archives in 5 year blocks when 25 years old.</p>	<p>02/20/2007</p>
<p>Federal Facilities Information System (FFIS): The Federal Facility Information System (FFIS) serves as a vehicle for assuring compliance of Federal facilities, including the preparation of OMB Circular A-106 reporting requirements, and provides a multi-media framework for enforcement overview. FFIS assists EPA in reviewing all Federal agencies' Environmental Plans (Form 3500-7) for the next planned fiscal year. Agencies update the system at least twice a year. EPA issues its A-106 report to the Office of Management and Budget (OMB) each year.</p> <p>In addition, FFIS provides capabilities to logically relate a unique facility to the numerous program areas in many media. The basic unit is the facility record which carries general information describing an individual facility of interest to EPA.</p> <p>Item a: Electronic software program</p> <p>Item b: Input</p> <p>Item c: Electronic data</p> <p>Item d(1): A-106 report</p> <p>Item d(2): All other reports</p> <p>Item e: Supporting documentation</p> <p>Function: 108-025-08 058</p>	<p>Item a: Disposable Delete when superseded by routine software updates and quality assurance completed. When each version is discontinued, maintain current version in accordance with NTSD directives and procedure</p> <p>Item b:Varies Follow instructions for EPA 171 - Input and Source Records.</p> <p>Item c: Permanent Transfer to the National Archives every 2 years as specified in 36 CFR 1228.270 or standards applicable at the time.</p> <p>Item d(1): Disposable Destroy 10 years after submission to OMB.</p> <p>Item d(2): Varies File with related records and follow instructions for the related records.</p> <p>Item e: Permanent Close when system discontinued. Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time. This documentation is transferred along with the electronic data (item c).</p>	<p>N1-412-94-2/10</p> <p>Status: Removed, 07/31/2008</p>
<p>FORMERLY USED DEFENSE SITES (FUDS): Includes documents related to investigation and clean up activities of hazardous waste at formerly used defense sites (FUDS), also known as the Formerly Utilized Sites Remedial Action Program, carried out by the Army Corps of Engineers, in cooperation with EPA. Documentation may include sampling and assessment of contaminated areas, characterization of site conditions, determination of the nature and extent of contamination, selection of response actions, cleanup and closeout of sites, and correspondence with EPA, other federal, or state agencies.</p> <p>Item a: Record copy</p>	<p>Item a: Disposable Close inactive records when EPA concurs with notification of no further action from Corps of Engineers. Destroy 20 years after file closure.</p>	<p>N1-412-07-55/1</p> <p>Status: Final, 04/30/2008</p>

<p>NONELECTRONIC: This item covers input and source records used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule.</p> <p>Item a(1): Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format Includes such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).</p> <p>Item a(2): Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion Includes such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).</p> <p>Item a(3): Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations) Includes such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).</p> <p>Item a(4): Hard copy documents other than those covered by items a(1) - a(3) above</p> <p>Item b: Electronic records entered into the system during an update process, and not required for audit and legal purposes Excludes electronic records as noted in item c.</p> <p>Item c: Electronic records received from another agency and used as input/source records by the receiving agency Excludes records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.</p> <p>Item d: Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database</p> <p>Function: 404-142-01 171</p>	<p>Transfer to NARA in accordance with previously approved schedule.</p> <p>Item a(2):Permanent Transfer to NARA in accordance with previously approved schedule.</p> <p>Item a(3):Varies Apply previously approved schedule.</p> <p>Item a(4):Disposable Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later.</p> <p>Item b:Disposable Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later.</p> <p>Item c:Disposable Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as backup to, the master file or database, whichever is later.</p> <p>Item d:Disposable Delete after the necessary data have been incorporated into a master file.</p>	<p>Status: Final, 04/30/2008</p>
<p>RCRA CORRECTIVE ACTION FILES: Contains records documenting corrective action measures as imposed through a RCRA permit. Includes RCRA Facility Assessments (RFA), RCRA Facility Investigations (RFI), Corrective Measures Studies (CMS), Corrective Measures Implementation (CMI), and related documents. Excludes: Corrective actions that become enforcement actions covered by EPA 207.</p> <p>Item a(1): Corrective actions for RCRA land disposals - Nonelectronic</p> <p>Item a(2): Corrective actions for RCRA land disposals - Electronic</p> <p>Item a(3): Corrective actions for RCRA land</p>	<p>Item a(1):Permanent Close inactive records at permit renewal or termination. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2):Permanent Close inactive records at permit renewal or termination. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR</p>	<p>N1-412-07-54/6</p> <p>Status: Final, 1/31/2011</p>

Function: 108-025-08 206	<p>Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	N1-412-07-2/6
<p>REGULATIONS, STANDARDS, & GUIDELINES: Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring and dissenting opinions, OMB request for comments, hearing transcripts, meeting minutes, background documents and other technical support material generated during the process to develop and approve the regulation, standard, or guideline, along with current indexes of documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted</p> <p>Item a(1): Published regulations, standards, and guidelines - Nonelectronic</p> <p>Item a(2): Published regulations, standards, and guidelines - Electronic</p> <p>Item a(3): Published regulations, standards, and guidelines - Electronic copy of records transferred to the National Archives</p> <p>Item b: Unpublished regulations, standards, and guidelines</p> <p>Function: 306-114 149</p>	<p>Item a(1): Permanent Close inactive records upon promulgation of rule or approval of guideline.</p> <p>Transfer to the National Archives 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p>Item a(2): Permanent Close inactive records upon promulgation of rule or approval of guideline.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records upon decision to not publish the regulation, standard, or guideline.</p> <p>Destroy 10 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p>	Status: Final, 02/29/2008
<p>REMEDIAL SITE FILES - SUPERFUND SITE SPECIFIC: Consists of site-specific records relating to activities conducted at remedial sites by EPA and non-EPA lead entities (e.g., PRP, state, federal facilities, other). Includes:</p> <p>Pre-record of decision (ROD) records - Examples of specific documents include correspondence and memoranda, quality assurance project plans (QAPPs), endangerment assessment, risk assessment, health and safety plans, potentially responsible party (PRP) searches and investigations, projects operations plans (POPs), remedial investigation (RI) reports, feasibility study (FS) reports, proposed plans for selected remedial action, and applicable or relevant and appropriate requirements (ARARs), congressional inquiries, community relations plans and other site-specific public awareness records. Also includes a headquarters pre-ROD review package, including site-specific review requirement and review.</p> <p>Post-ROD records - Examples of specific documents include correspondence and memoranda, the ROD, state concurrence letters, ROD delegation documents, responsiveness summaries, work assignments, progress reports, and other documents related</p>	<p>Item a(1):Permanent Close inactive records at issuance of ROD for the site or operable unit and appropriate milestones thereafter.</p> <p>Transfer to the National Archives 30 years after file closure.</p> <p>Item a(2):Permanent Close inactive records at issuance of ROD for the site or operable unit and appropriate milestones thereafter.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, in a format as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	N1 412 06 14 Status: Final, 12/31/2010

<p>operation and maintenance (O and M) records - Examples of specific documents related to long-term treatment measures needed to achieve cleanup objectives include correspondence and memoranda, operation and maintenance plans, monitoring agreements, sampling and analysis data, inspection reports, construction completion documentation packages, site close out, and NPL deletion packages.</p> <p>Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 108-024-01-02 014</p>		
<p>SAMPLING AND ANALYTICAL DATA FILES: Records relate to chemical analysis services performed to support the Agency's environmental programs. Includes analysis conducted through the Contract Laboratory Program (CLP), including sample results in the form of current files, purge files, and Sample Management Office (SMO) files. Regional lab records include in-house sampling. Supporting documentation includes document inventory form, data summaries, field sheets, chain of custody, data reports, analyst log books, sample logbooks, data sheets, correspondence, quality assurance and data validation files, quality control summaries, QC data logs and worksheets. Specific types of data packages will include Organic Routine Analytical Services (RAS), Inorganic RAS, Dioxin RAS, High Concentration (HC) and Special Analytical Services (SAS). Excludes: Superfund site-specific sampling and analytical data files scheduled as EPA 018. Item a: Record copy</p> <p>Function: 108-025 223</p>	<p>Item a: Disposable Close inactive records upon completion of sampling activity. Destroy 10 years after file closure.</p>	<p>N1-412-07-22/1</p> <p>Status: Final, 6/30/2009</p>
<p>SAMPLING & ANALYTICAL DATA FILES - SUPERFUND SITE SPECIFIC: Records relate to chemical analysis services performed to support Superfund remedial and removal site-specific activities. Comprised of records created by laboratories, including through the Contract Laboratory Program (CLP). Contains sample results and supporting documentation including document inventory forms, data summaries, field sheets, chain of custody forms, data sheets and reports, analyst log books, sample logbooks, correspondence, quality assurance and data validation files, quality control summaries, QC data logs and worksheets. Specific types of data packages will include Organic Routine Analytical Services (RAS), Inorganic RAS, Dioxin RAS, High Concentration (HC) Sample Preparation (RAS), and Special Analytical Services (SAS). Item a: Current files Item b: Purge files</p> <p>Function: 108-024-01 018</p>	<p>Item a: Disposable Close inactive records upon completion of primary or major data review/validation and data validation summary reports for the sample set. Destroy when all cost recovery actions have been completed, or 30 years after file closure, whichever is sooner.</p> <p>Item b: Disposable Close inactive records upon completion of primary or major data review/validation and data validation summary reports for the sample set. Destroy 30 years after file closure.</p>	<p>N1-412-06-15</p> <p>Status: Final, 2/28/2010</p>
<p>SPECIAL STUDIES: Contains supporting files relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone</p>	<p>Item a: Disposable Close upon completion of study. Destroy 7 years after file closure.</p>	<p>N1-412-07-1/1</p> <p>Status: Final, 7/31/2010</p>

<p>as EPA 258 and management studies scheduled as EPA 105.</p> <p>Item a: Record copy</p> <p>Function: 108 005</p>		
<p>STATE AND OTHER ENTITY PROGRAM AUTHORIZATION AND APPROVAL FILES: Contains records that document the process for authorizing operation of a program by states and other entities in lieu of a federal program. Types of records include the application with background and supporting documentation, correspondence, copies of statutes and regulations, interim authorizations, and documentation of public participation activities. Also includes documents relating to EPA's review, evaluation, and determination of the program, development of enforcement and environmental standards, as well as authorization withdrawals as it applies to the initial program authorization and subsequent revisions</p> <p>Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 304-104-03 204</p>	<p>Item a(1):Permanent Close inactive records at end of year or after new authorization is signed.</p> <p>Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records at end of year or after new authorization is signed.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-2/8</p> <p>Status: Final, 1/31/2011</p>
<p>STATE AND OTHER ENTITY RELATIONS AND OVERSIGHT FILES:Contains records used to oversee programs operated in lieu of a federal program by states and other entities. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions.</p> <p>Item a: Record copy</p> <p>Function: 301-093 203</p>	<p>Item a: Disposable Close inactive records at end of year.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-1/9</p> <p>Status: Final, 03/30/2007</p>
<p>309 REVIEW & COMMENT FILES: Contains documents used in review and coordination of EPA comments on projects that may impact on the environment.</p> <p>Item a(1)(a): 309 review comment file - Nonelectronic Includes official Agency comments made pursuant to Section 309 of the Clean Air Act regarding environmental impact statements (EISs), regulations, legislation and other major federal actions, associate reviewer comments, a copy of materials reviewed, and other associated materials.</p> <p>Item a(1)(b): 309 review comment file - Electronic Includes official Agency comments made pursuant to Section 309 of the Clean Air Act regarding environmental impact statements (EISs), regulations, legislation and other major federal actions, associate reviewer comments, a copy of materials reviewed, and other associated materials.</p> <p>Item a(1)(c): 309 review comment file - Electronic copy of records transferred to the National Archives Includes official Agency comments made pursuant to Section 309 of the Clean Air Act</p>	<p>Item a(1)(a):Permanent Close inactive records upon completion of project review after final comment issuance.</p> <p>Transfer to the National Archives 20 years after file closure.</p> <p>Item a(1)(b):Permanent Close inactive records upon completion of project review after final comment issuance.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(1)(c):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item a(2):Disposable Close inactive records at end of reporting cycle.</p>	<p>N1-412-08-16</p> <p>Status: Final, 1/31/2011</p>

<p>comments, a copy of materials reviewed, and other associated materials.</p> <p>Item a(2): 309 review report Includes computer-generated data summarizing official 309 reviews, Federal Register notices, and other associated materials.</p> <p>Item a(3): Summarized comments</p> <p>Function: 108-025-08 135</p>	<p>Item a(3):Disposable Close file when comments are summarized. Destroy after file is closed.</p>	
<p>WATER QUALITY PLANNING & MANAGEMENT FILES: Contains documents relating to water quality planning, management and implementation undertaken by EPA, states, interstate, regional and local agencies. Also includes documents dealing with nonpoint source implementation projects and information on projects such as reservoirs, and nuclear power plants which may affect water quality. Includes water quality management plans, water quality reports, TMDLs (Total Maximum Daily Loads), load allocation working papers, water quality models, correspondence and other related documents.</p> <p>Item a(1): Final plans and annual and biennial reports - Nonelectronic Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.</p> <p>Item a(2): Final plans and annual and biennial reports - Electronic Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.</p> <p>Item a(3): Final plans and annual and biennial reports - Electronic copy of records transferred to the National Archives Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.</p> <p>Item b: Supporting files</p> <p>Function: 108-025-02 213</p>	<p>Item a(1):Permanent Close inactive records at end of year. Transfer to the National Archives 10 years after file closure.</p> <p>Item a(2):Permanent Close inactive records at end of year. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable Close inactive records at end of year. Destroy 10 years after file closure.</p>	<p>N1-412-08-7/2</p> <p>Status: Final, 2/28/2011</p>
<p>EPA NON-RECORDS: Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition. Examples of Non-Records: Technical Reference Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation, Library or Museum Materials, Working Papers and Drafts.</p> <p>Function: 0 008</p>	<p>Item a:Disposable Close when obsolete, superseded or no longer needed for reference. Destroy immediately after file closure.</p>	<p>NOT APPLICABLE</p> <p>Status: Final, 02/12/2007</p>